

Jeffrey Allen Breault

Order of Sanctions

DATE: July 8, 2002 RESPONDENTS: Jeffrey Allen Breault of Wichita, Kansas

ALLEGATIONS: Engaging in dishonest or unethical practices of the securities business by effecting securities transactions not recorded on the regular records of the broker-dealer (selling away). ORDER: After a full hearing in the matter, the presiding officer entered an order of sanctions against Breault for selling away violations with two investors. The dishonest and unethical violations pertained to making favorable recommendations, vouching for company management, and assisting the two investors in purchasing stock in Western Feed Mills, Inc. of Cedar Vale, Kansas. At the time of the violations, Breault did not have permission from his broker-dealer to effect the transactions.

The presiding officer ordered Breault censured and fined \$500 for each investor for a total of \$1,000.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.